

I. PURPOSE

Overview – The US Department of Homeland Security (DHS) awards various Homeland Security (HS) grants to enhance and develop state and local homeland security capabilities. These HS grants are administered by a single State Administering Agency (SAA). In Indiana, the Governor has designated Indiana Department of Homeland Security (IDHS) as the SAA. IDHS subsequently sub-grants the HS grants to the various state and local jurisdictions and/or agencies to meet mandatory pass-through requirements. This Plan establishes the administrative process by which IDHS will administer the HS grants awarded to Indiana. This Plan will include processes to apply for, receive, manage, and closeout HS funds that are sub-awarded to state and local jurisdictions and/or agencies, private or public.

Each federal HS grant comes with a specific grant “Program Guidance and Application Kit.” The Program Guidance defines/establishes that grant program’s unique initiatives, requirements, and restrictions to include specific allowable and non-allowable costs and activities. IDHS will ensure state and local jurisdictions and/or agencies receiving these funds will comply with the respective federal grant guidance. It must be recognized that the federal grant programs differ from year to year, and as such the allowable and non-allowable costs and activities differ from grant to grant. Grant recipients are responsible to review and adhere to the specific grant Program Guidance to understand its unique requirements and restrictions.

Further, DHS recognizes and permits the SAA to direct or specify how grant funds will be allocated and used provided that direction it is not inconsistent with federal grant guidance or federal regulations. The SAA may impose guidelines and parameters more strict or limited than federal guidance, but may not broaden those more than permitted by the federal guidance. As such, IDHS may issue its own specific grant Program Guidance that defines/establishes that unique state initiatives, requirements, and restrictions to include specific allowable and non-allowable costs and activities. IDHS will ensure grant recipients are aware and will comply with the state grant guidance.

Additionally, all federal laws and rules govern the administration and spending of federal grant funds. These requirements are defined in the Code of Federal Regulations (CFRs), Office of Management & Budget (OMB) Circulars, and respective federal agency financial guides. IDHS will ensure grant recipients are aware of and can comply with these federal regulations. However, the individual grant recipient is responsible to review, understand, and adhere to those federal regulations.

If there is a question regarding eligible grant activities or costs, or with state or federal guidance, the grant recipient will contact IDHS for clarification. If IDHS is unclear or uncertain on how to address or answer the grant recipient’s request for clarification, IDHS will contact their respective DHS Program Officer for clarification. Clarification will be relayed to all parties concerned in a timely fashion.

IDHS, as the SAA, is responsible for managing the day-to-day operations of grant and sub-grant supported activities. However, it is recognized that other sections/personnel within IDHS have trained and experienced personnel who will serve as Project Managers and oversee specific tasks under the grant programs. Project Managers will be responsible to monitor grant recipient activities and assure compliance with applicable state and federal requirements.

II. APPLICABLE REFERENCES & AUTHORITIES

- Federal Grant Program Guidance: See the respective federal grant guidance issued for each grant
- Federal Grant Application, Grant Award and Special Conditions: See the respective federal Grant Award Notice (GAN), to include any Special Conditions annotated on the GAN
- For US DHS/FEMA Grants awarded in FY07 (except for FY07 EMPG) and FY08: the following federal provisions are applicable:
 - The grantee and any sub-grantee shall comply with all applicable laws, regulations and program guidance. A non-exclusive list of regulations commonly applicable to US DHS grants are as follows:
 - Administrative Requirements: 44 CFR Part 13, “Uniform Administrative Requirements for Grants and Cooperative Agreement to State and Local Governments” and 2 CFR Part 215, “Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.”
 - Cost Principles: 2 CFR Part 225, State and Local Governments; 2 CFR Part 220, Educational Institutions; 2 CFR Part 230, Non-profit Organizations; and Federal Acquisition Regulation Sub-part 31.2, Contracts with Commercial Organizations.
 - Audit Requirements OMB Circular A-133, Audits of State, Local Governments, and Non-Profit Organizations.
- For US DHS/FEMA Grants awarded prior to FY07 and FY07 EMPG, the following federal provisions are applicable:
 - Federal Financial Guides: (as amended/revised) Dept. of Justice (DOJ), Office of Justice Programs, Office of Comptroller, “Financial Guide”, December 2006 ed. (applicable to HS grants issued prior to and including FY05) Dept. of Homeland Security (DHS), Office of Grant Operations, “Financial Management Guide”, January 2006 ed. (applicable to HS grants issued in FY06 and FY07 EMPG)
 - Title 28, Part 66, DOJ (on behalf of DHS) “Uniform Administrative Requirements for Grants and Agreement to State and Local Governments”
 - OMB Circulars: (as amended/revised) Grant Administration Requirements: A-102 “Grants and Cooperative Agreements with State and Local Governments” (codified in 28 CFR 66 [DOJ-DHS] . A-110 “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations” (codified in 28 CFR 70).
 - Allowable/Non-allowable Cost Principles: A-21 “Cost Principles for Educational Institutions” (codified in 28 CFR 66, by reference). A-87 “Cost Principles for State, Local, and Indian Tribal Governments” (codified in 28 CFR 66, by reference).
 - Audit Requirements: A-133 “Audits of States, Local Governments and Non-Profit Institutions” (codified in 28 CFR 66 & 70).

III. PUBLIC ACCESS TO INFORMATION

IDHS recognizes that some of the information submitted in the course of applying for funding under DHS grant programs, or provided in the course of its grant management activities, may be sensitive information, the release of which could threaten public safety by exposing a vulnerability to terrorist attack. This includes threat, intelligence, risk, capability, and/or needs assessment information, as well as discussions of response, government, demographic, transportation, public works, industrial, and/or public health infrastructures.

This information may meet the criteria for being withheld from release under IC 5-14-3-4(b)(19) or other provisions of the Indiana Access to Public Records Act. All determinations concerning the release of information made pursuant to the Indiana Access to Public Records Act will be made on a case-by-case by IDHS. All such requests will be forwarded to and coordinated by IDHS Public Information Officer and in consultation with, at a minimum, IDHS's General Counsel and the Grants Management Section Chief.

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